

Departmental Notice #4

September 1, 2005

Form Specifications for Software Developers

This document does not meet the definition of a “statement” required to be published in the Indiana Register under IC 4-22-7-7. The purpose of this document is to provide software publishers and form developers with guidelines for the production of computer generated substitute state tax forms.

It is the policy of the Indiana Department of Revenue to follow all guidelines set forth in Internal Revenue Publication 1167 and in Indiana law 45 IAC 15-3-3. However, the department would like to emphasize the following points:

1. **Software companies wanting to reproduce Indiana tax forms should be registered with the Forms Management Coordinator at the Indiana Department of Revenue.** The registration form required must be completed online through our Web site at <http://www.in.gov/dor> and is accessed through the following links:

Software Developers
Electronic Forms Area
Registration Form

It is the responsibility of the software company to update information on this same registration form when contact changes occur, whether it is additional contact persons or mailing information. All contact persons will be placed on an e-mail distribution list through which information will be distributed as needed.

However, the department reserves the right to deny participation in its program if a company is required to be registered to do business in the state, but is not registered, or if a company has any outstanding tax liabilities with the state. If this is the case, the company’s contact person will be notified.

2. **Tax Year 2006 forms will be made available on the Software Developers’ password protected “Forms Area” on the department’s Web site on September 1, 2005. Form updates (corrections) will be made through September 15, 2005.** Additional final forms may be added to this area as needed after October 1. The user name and password for this area will be changed annually on September 1. This information will only be made available to those software companies and contact persons that have registered on the Web site. **The department will not disclose the user name and password or forms approval status except to those contact persons registered for each software company.**
3. **Tax Year 2006 forms must be submitted for approval between October 1, 2005 and January 31, 2006.** If forms are not received during this time period, taxpayers must be informed forms were not approved. During this time period, forms should be approved within 10 business days of receipt. The department cannot guarantee approval within ten business days if the forms are not received during this time period.
4. **All software developers must submit to the Forms Management Coordinator, via e-mail, a list of the forms that will be supported in their software package(s).** If your company uses forms created by another vendor, you do not have to submit your forms for approval unless you are reproducing forms including an OCR-A extended scanline or 2-D Barcode. However, you still must be registered, indicate your forms vendor, and provide a list of forms supported in your software package, so that approval of the forms vendor can be verified.

5. **To receive approval on computer generated substitute forms, the software developer must submit copies of forms to the Forms Management Coordinator.** Although “dummy” data will not be required on all forms submitted, it is still preferred. **However, for testing purposes, 10 copies of forms with “dummy” data are required on coupon-sized forms with OCR-A extended scanlines including forms PFC, FAB-103, IT-40 ES, IT-6, ST-103, WH-1 and IT-9.** The Forms Management Coordinator may request “dummy” data if necessary for approval purposes after reviewing initial submissions. Form submissions of PDF files via e-mail may be submitted for approval, provided the PDF files contain accurate and identical data to what will be provided in the software package. Forms must be submitted to:

Via U.S. Mail: Zachary Wade
Forms Management Coordinator
Indiana Department of Revenue
Indiana Government Center North
100 N. Senate Avenue – Room N201
Indianapolis, IN 46204

Via E-mail: forms@dor.in.gov

6. **Software companies participating in the Electronic Filing (ELF) program will not be certified until their forms, or forms vendor, have completed the forms approval process for all Individual Income Tax forms required for Electronic Filing.**
7. **Software companies participating in the 2-D Barcode program will not be certified until their forms, or forms vendor, have completed the forms approval process for all tax forms they are supporting for the 2-D Barcode program.**
8. **All forms submitted for approval must contain the software company’s unique 4-digit numeric vendor code as assigned by the National Association of Computerized Tax Processors (NACTP).** The vendor code must appear below the lower left-hand margin on all standard 8 ½” x 11” forms. The vendor code will be captured during returns processing from the first page of every form. However, the vendor code must appear on every page of every form that a software company develops. Forms will not be approved if the vendor code is not present. **Software companies must contact Jamie Stiles, at (828) 524-8020 x5833, or jstiles@dnet.net, to be assigned a vendor code.**
9. **Most “controlled documents” may not be reproduced. For Tax Year 2006, the only “controlled” forms and specifications that may be reproduced and approved are as follows: PFC, FAB-103, IT-40 ES, IT-6, ST-103, WH-1, WH-3 and IT-9.** Most business tax and coupon-sized forms that have OCR-A extended font scanlines cannot be reproduced and are under a “controlled” status. Some controlled forms may be available upon request from the Forms Management Coordinator for informational purposes only. If the department receives any controlled forms that cannot be processed, they will be returned to the taxpayer for re-filing on the correct form and the taxpayer is notified they are using unapproved software. **Specifications of controlled forms will be placed on the software developer Web site.**
10. **The forms must state the correct dollar amounts.** Forms which require cent amounts must have the decimal present in the dollar amount (\$00,000.00). If the dollar amount is rounded off, a decimal point and zero fill is required.
11. **The forms must have the correct format.** Forms should have ½” margins, all lines, line numbers, boxes, and instructions as contained in Indiana tax returns; the arrangement must be identical. All shaded areas should be duplicated, as well as any white space for keying purposes. The only exception to this is on “scannable-looking” forms, where boxes which contain areas for individual characters do not require individual hand-constraint boxes, as shown below:

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12. **Forms must be submitted on paper of the same weight, size and texture.**
13. **Forms must meet the proper printing requirements to provide all details described above.** Forms printed with Laser or DeskJet quality are preferable. Forms printed on dot matrix will be approved by the department.
14. **Updates and special instructions for each tax year will be provided as “News Flashes” in the Software Developer’s area of the department’s Web site.** It is the responsibility of the software company to check this section for updates in a timely manner. This information will also be distributed to all registered software companies and contact persons via electronic mail.
15. **Software developers are to notify the Forms Management Coordinator as soon as an error in their software package(s) has been identified after the first release of their product(s).** The state must also be notified of the date that the software company sent an updated release of its software to their users to amend the errors. The department must have this information in order to intercept potential problems these errors could cause during processing, and so that the department can discern whether the software developer, tax practitioners or taxpayers involved need to be notified accordingly.
16. **Information regarding approved and disapproved software will be made available to taxpayers upon request.** If a software company is found to be selling a product which violates any of these specifications, the department reserves the right to disapprove all other forms submitted from that company and make that information public knowledge until the violation(s) have been resolved.
17. **Any questions regarding this document and other software developer inquiries should be directed to the Forms Management Coordinator:**

Zachary Wade
Forms Management Coordinator
Phone: (317) 232-2198
Fax: (317) 233-1844
e-mail: forms@dor.in.gov



John Eckart
Commissioner
Indiana Department of Revenue